



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: ☒ Application of: Sinn *et al.*
☐ Patent of:

☐ Application No.:
☐ Patent No.:

Group Art Unit: N/A

☒ Filed: March 24, 1997
☐ Issued:

Examiner: N/A

For: CONJUGATE CONSISTING OF AN
ACTIVE SUBSTANCE AND A NON-
EXOGENOUS NATIVE PROTEIN

Attorney Docket No.:
8484-021-999

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
[37 CFR 1.9(f) and 1.27(d)] - Nonprofit Organization

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of organization Deutsches Krebsforschungszentrum Stiftung des öffentlichen Rechts
Address of organization Im Neuenheimer Feld 280, D-69120 Heidelberg Germany

Type of organization

- ☐ University or other institution of higher education
☐ Tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3))
☐ Nonprofit scientific or educational under statute of state of the United States of America

(Name of state _____)

(Citation of statute _____)

- ☒ Would qualify as tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3)) if located in the United States of America.

- ☐ Would qualify as nonprofit scientific or educational under statute of state of the United States of America if located in the United States of America

(Name of state _____)

(Citation of statute _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled CONJUGATE CONSISTING OF AN ACTIVE SUBSTANCE AND A NON-EXOGENOUS NATIVE PROTEIN by inventor(s) Hansjörg SINN; Hans-Hermann SCHRENK; Wolfgang MAIER-BORST; Gerd STEHLE; Andreas WUNDER; Dirk HOFF-BIEDERBECK; Dieter Ludwig HEENE described in

- ☒ the specification filed herewith
☐ application no. filed March 24, 1997
☐ patent no. issued

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization identified above and/or there is an obligation under contract or law by the inventor(s) to convey rights to the nonprofit organization identified above with regard to the invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

FULL NAME Deutsches Krebsforschungszentrum, Stiftung des öffentlichen Rechts
ADDRESS Im Neuenheimer Feld 280, 69120 Heidelberg

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

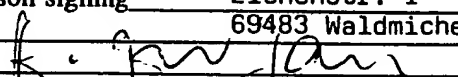
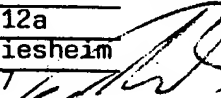
FULL NAME _____
ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28 (b)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, and patent issuing thereon, or any patent to which this verified statement is directed.

Send correspondence to: **PENNIE & EDMONDS LLP** Direct Telephone calls to:
1155 Avenue of the Americas **PENNIE & EDMONDS LLP**
New York, N.Y. 10036-2711 (212) 790-9090

Name of person signing	<u>Prof.Dr.med.Dr.h.c.mult.H.zur Hausen</u>	<u>Dr.rer.pol.J. Puchta</u>
Title of person other than owner	<u>Chairman a. Scient.Member of</u>	<u>Adm. Member of the Board</u>
Address of person signing	<u>Eichenstr. 1</u>	<u>Eichenweg 12a</u>
	<u>69483 Waldmichelbach</u>	<u>69198 Schriesheim</u>
Signature		Date <u>May 7, 1997</u> 

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities.
(37 CFR 1.27)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: ☒ Application of: Sinn *et al.*
☐ Patent of:

☐ Application No.:
☐ Patent No.:

Group Art Unit: N/A

☒ Filed: March 24, 1997
☐ Issued:

Examiner: N/A

For: CONJUGATE CONSISTING OF AN
ACTIVE SUBSTANCE AND A NON-
EXOGENOUS NATIVE PROTEIN

Attorney Docket No.:
8484-021-999

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
[37 CFR 1.9(f) and 1.27(b)] - Independent Inventor

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled Conjugate Consisting of an Active Substance and a Non-Exogenous Native Protein described in

- ☐ the specification filed herewith
☒ application serial no. 08/817,185 filed March 24, 1997
☐ patent no. issued

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern, or organization
☐ persons, concerns or organizations listed below*

*NOTE: Separate verified statements are required from each named person, concern, or organization having rights to the invention averring to their status as small entities.
(37 CFR 1.27)

FULL NAME _____
ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME _____
ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME _____
ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME _____
ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28 (b)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, and patent issuing thereon, or any patent to which this verified statement is directed.

Send correspondence to:

PENNIE & EDMONDS LLP
1155 Avenue of the Americas
New York, N.Y. 10036-2711

Direct Telephone calls to:
PENNIE & EDMONDS LLP
(212) 790-9090

NAME OF INVENTOR Gerd Stehle	NAME OF INVENTOR
SIGNATURE OF INVENTOR <i>Gerd Stehle</i>	SIGNATURE OF INVENTOR
DATE <i>9.9.97</i>	DATE